



Practitioner's Docket No. 2003-0419.02

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Charles Stanley Aldrich, Jeffrey Ray Ehlert, Martin Alan Johnson, Daniel Robert LaBar, Robert Michael Meadows

Application No.: 10/718,727  
For: Printhead Cap Assembly for An Ink Jet Printer

Mail Stop Petition Office  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PETITION TO ADD NAME OF OMITTED INVENTOR  
TO UTILITY APPLICATION (37 C.F.R. § 1.48(d))

1. Applicant petitions to add the following name, omitted by error, as inventor to this application.

Brian Andrew Naro, 630 Central Avenue, Apt. #25, Lexington, Kentucky 40502

2. The error in omitting the inventor hereby petitioned to be added occurred by error, without deceptive intent on the part of the omitted inventors.

This statement is made by the attorney signing below.

3. Fee

The petition fee for correction of inventorship in a provisional application is \$130.00 (37 C.F.R. § 1.17(q)).

Petition fee due \$ 130.00

4. Payment of fees

01/26/2004 LWONDIM1 00000091 10718727

01 FC:1051 130.00 DA

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\*

01/26/2004 LWONDIM1 00000091 121213 (When using Express Mail, the Express Mail label number is mandatory; Express Mail certification is optional.)

01 FC:1051 130.00 DA

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☐ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, Washington D.C. 20231  
37 C.F.R. § 1.8(a)

☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee" (1.10)  
Mailing Label No. \_\_\_\_\_ (mandatory)

TRANSMISSION

☐ facsimile transmitted to the Patent and Trademark Office, (703) \_\_\_\_\_

01/26/2004 LWONDIM1 00000091 121213 10718727

02 FC:1460 130.00 DA

Date: 1-19-04

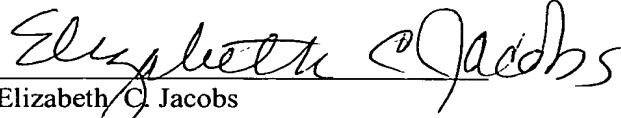
Signature

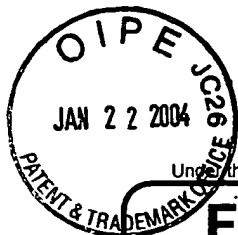
Lori Woods  
(type or print name of person certifying)

\* Only the date of filing (' 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under ' 1.8 continues to be taken into account in determining timeliness. See ' 1.703(f). Consider "Express Mail Post Office to Addressee" (' 1.10) or facsimile transmission (' 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

Authorization is hereby made to charge the amount of \$130.00 to Deposit Account No. 12-1213.

A duplicate of this paper is attached.

  
Elizabeth C. Jacobs  
Registration No. 34,189  
Lexmark International, Inc.  
Intellectual Property Law  
740 West New Circle Road  
Lexington, KY 40550  
859-232-7847  
Customer No. 21972



PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)**300.00****Complete if Known**

Application Number	10/718,727
Filing Date	November 24, 2003
First Named Inventor	Charles Stanley Aldrich
Examiner Name	
Art Unit	
Attorney Docket No.	2003-0419.02

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

12-1213

Lexmark International, Inc.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims		Fee from below		Fee Paid	
Total Claims		-20** =		X		=	
Independent Claims		-3** =		X		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	130.00
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130.00
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**300.00****SUBMITTED BY**

Name (Print/Type)	Elizabeth C. Jacobs	Registration No. (Attorney/Agent)	34,189	Telephone	859-232-7847
Signature	<i>Elizabeth C. Jacobs</i>	Date	Jan 16, 2004		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

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Docket No. 2003-0419.02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Charles Stanley Aldrich, Jeffrey Ray Ehlert, Martin Alan Johnson,  
Daniel Robert LaBar, Robert Michael Meadows

Application No.: 10/718,727

Filing Date: November 24, 2003

Confirmation No. Unknown

Title: Printhead Cap Assembly for An Ink Jet Printer

Group Art Unit: Unknown

Examiner: Unknown

STATEMENT OF ADDED INVENTOR UNDER 37 CFR 1.48(a)(2)

I, Brian Andrew Naro, hereby declare that the inventive entity of the above-referenced patent application as set forth in a declaration executed on November 20, 2003, was in error, and that I should be included in said inventive entity. Such error in inventorship accrued without any deceptive intention on my part.

Date: 1-16-2004 Inventor's Signature: Brian Andrew Naro



Docket No. 2003-0419.02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Charles Stanley Aldrich, Jeffrey Ray Ehlert, Martin Alan Johnson,  
Daniel Robert LaBar, Robert Michael Meadows

Application No.: 10/718,727

Filing Date: November 24, 2003

Confirmation No. Unknown

Title: PRINthead CAP ASSEMBLY FOR AN INK JET PRINTER

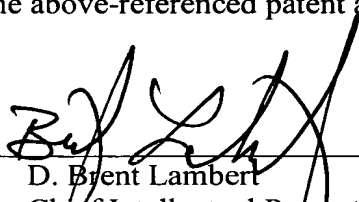
Group Art Unit: Unknown

Examiner: Unknown

CONSENT OF ASSIGNEE TO ADD INVENTOR UNDER 37 CFR 1.48(a)(5)

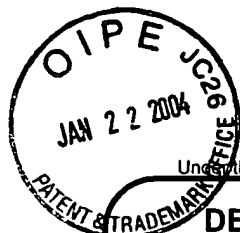
Lexmark International, Inc., a Delaware Corporation, having its principal place of business at 740 West New Circle Road, Lexington, Kentucky 40550, assignee of the above-referenced patent application as evidenced by the assignment executed and notarized, a copy of which is provided herewith, hereby consents to the addition of Brian Andrew Naro as an inventor in the above-referenced patent application.

Signature: \_\_\_\_\_

  
D. Brent Lambert  
Chief Intellectual Property Counsel  
Lexmark International, Inc.

Date \_\_\_\_\_

1/19/04



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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**☐Declaration  
Submitted  
With Initial  
Filing

OR

☒Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number

2003-0419.02

First Named Inventor

Charles Stanley Aldrich

COMPLETE IF KNOWN

Application Number

10/718,727

Filing Date

November 24, 2003

Art Unit

Examiner Name

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Printhead Cap Assembly for An Ink Jet Printer

(Title of the Invention)

the specification of which

☐

is attached hereto

OR

☒

was filed on (MM/DD/YYYY)

11/24/2003

as United States Application Number or PCT International

Application Number

10/718,727

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

(Page 1 of 2)

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**DECLARATION — Utility or Design Patent Application**Direct all correspondence to: ☒ Customer Number: 21972 OR ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**☐ A petition has been filed for this unsigned inventorGiven Name  
(first and middle (if any))

Charles Stanley

Family Name  
or Surname

Aldrich

Inventor's  
Signature*Charles Stanley Aldrich*

Date

1/16/04

Residence: City

Nicholasville

State

KY

Country

USA

Citizenship

USA

Mailing Address

400 Delaney Woods Road

City

Nicholasville

State

KY

ZIP

40356

Country

USA

**NAME OF SECOND INVENTOR:**☐ A petition has been filed for this unsigned inventorGiven Name  
(first and middle (if any))

Jeffrey Ray

Family Name  
or Surname

Ehlert

Inventor's  
Signature*Jeffrey Ray Ehlert*

Date

1/16/04

Residence: City

Lexington

State

KY

Country

USA

Citizenship

USA

Mailing Address

1424 Copperfield Court

City

Lexington

State

KY

ZIP

40514

Country

USA

☒Additional inventors or a legal representative are being named on the 2 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 1 of 2

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Martin Alan		Johnson	
Inventor's Signature <i>Martin Alan Johnson</i>		Date <i>1/16/04</i>	
Residence: City Winchester	State KY	Country USA	Citizenship USA
Mailing Address 9991 Ironworks Road			
Mailing Address			
City Winchester	State KY	Zip 40391	Country USA
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Daniel Robert		LaBar	
Inventor's Signature <i>Daniel Robert LaBar</i>		Date <i>1/16/04</i>	
Residence: City Lexington	State KY	Country USA	Citizenship USA
Mailing Address 412 Ella Rae Lane			
Mailing Address			
City Lexington	State KY	Zip 40511	Country USA
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Robert Michael		Meadows	
Inventor's Signature <i>Robert Michael Meadows</i>		Date <i>1/16/04</i>	
Residence: City Lexington	State KY	Country USA	Citizenship USA
Mailing Address 3371 Mantilla Drive			
Mailing Address			
City Lexington	State KY	Zip 40513	Country USA

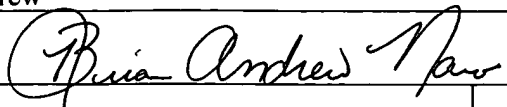
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**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 2 of 2

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Brian Andrew		Naro	
Inventor's Signature 		Date <u>1-16-2004</u>	
Residence: City Lexington	State KY	Country USA	Citizenship USA
Mailing Address 630 Central Ave., Apt. #25			
Mailing Address			
City Lexington	State KY	Zip 40502	Country USA
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country

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